

DATED MATERIAL - OPEN IMMEDIATELY
Closing Date: October 25, 2002

***Grant Application
for the***
**FULBRIGHT-HAYS
FACULTY RESEARCH ABROAD PROGRAM**

CFDA No. 84.019

Fiscal Year 2003



**International Education and Graduate Programs Service
U.S. Department of Education
Washington, D.C. 20006-8521**

OMB No. 1840-0005
Expiration Date: 06/30/2004

FACULTY CHECKLIST

- ☐ Fully completed Application Form including doctor's signature
- ☐ Curriculum Vita
- ☐ 10 page narrative
(8 1/2 x 11 paper with one inch top, bottom and side margins with no smaller than size 12 font)
- ☐ 1 Language Reference for each language of research
- ☐ Institutional Support Statement
- ☐ Submit to your university contact your original application plus 2 copies
(if conducting research in more than one country, we would appreciate it if you would submit an additional copy for each country of research)

INSTITUTION CHECKLIST

Please enclose the following items:

- ☐ SF-424 (original plus one copy)
- ☐ Item 16 on which you list each faculty member applying, discipline, country of research and amount requested
- ☐ Assurances for Non-Construction Programs
- ☐ Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters
- ☐ SF-LLL Disclosure of Lobbying Activities if applicable
- ☐ SF-LLLA if applicable
- ☐ Certifications Regarding - Lower Tier Covered Transactions - retain this in your institution files
- ☐ Institutional Support Statement
- ☐ An original application plus two copies for each faculty member
(if conducting research in more than one country, we would appreciate it if you would submit an additional copy for each country of research)
- ☐ Postmarked by the Closing Date on the cover of the application

For an electronic version of this application, go to <http://www.ed.gov/offices/OPE/HEP/iegps/>

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Dear Applicant:

Thank you for your interest in the Fulbright-Hays Faculty Research Abroad (FRA) Program. Included in this booklet are the background information, instructions and forms needed to submit a complete application package to the U.S. Department of Education. The Technical Review Form (including the selection criteria) is also provided to assist you in developing the narrative portion of your application.

The FRA Program provides fellowships for 3-12 months to enable faculty members of institutions of higher education to conduct research overseas in the field of modern foreign languages and area studies.

The FRA Program is piloting electronic applications this year. Please check with your institutional contact to see if your university is participating. All applications from the institution must be submitted in either electronic or paper format. If your institution is using paper submission, you may use either this booklet or print a paper version for our website (www.ed.gov/offices/OPE/HEP/iegps/fraapp.html) for completion.

Your FRA application must be submitted through a U.S. institution of higher education. In order for institutions to apply electronically, potential project directors must submit the following information, via e-mail, to Amy Wilson (amy.wilson@ed.gov): first and last name of potential director, university, and e-mail address. This information must be submitted no later than October 9, 2002.

If you need technical assistance or have questions regarding the instructions, the FRA Team program officers are available to help you. Contact information is contained in this application booklet. General information or additional copies of the application may be obtained by calling 202-502-7700, or from our website.

We appreciate your interest in the FRA program and look forward to receiving your application.

Sincerely,

Wilbert Bryant
Deputy Assistant Secretary
for Higher Education Programs

FACULTY RESEARCH ABROAD PROGRAM INFORMATION

SECTION A

4000-01-U

DEPARTMENT OF EDUCATION

(CFDA No. 84.019A)

Office of Postsecondary Education.

Fulbright-Hays Faculty Research Abroad Fellowship Program

Notice inviting applications for new awards for fiscal year (FY) 2003.

PURPOSE OF PROGRAM: The Faculty Research Abroad Fellowship Program

offers opportunities to faculty members of institutions of higher education for research and study in modern foreign languages and area studies.

For FY 2003 the competition for new awards focuses on projects designed to meet the priority we describe in the PRIORITY section of this application notice.

ELIGIBLE APPLICANTS: Institutions of higher education.

APPLICATIONS AVAILABLE: September 25, 2002.

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: October 25, 2002.

ESTIMATED AVAILABLE FUNDS: The Administration has requested \$1,575,000 for this program for FY 2003. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

ESTIMATED RANGE OF AWARDS: \$20,000 - \$100,000.

ESTIMATED AVERAGE SIZE OF FELLOWSHIP AWARDS: \$47,727.

ESTIMATED NUMBER OF AWARDS: 33 fellowships.

Note: The Department is not bound by any estimates in this notice.

PROJECT PERIOD: The institutional project period is 18 months beginning July 1, 2003. Faculty may request funding for 3 - 12 months.

PAGE LIMIT: The application narrative is where the faculty applicant addresses the selection criteria that reviewers use to evaluate the application. The faculty applicant must limit the narrative to the equivalent of no more than 10 pages, and the references to the equivalent of no more than 2 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

The page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; or the references. However, you must include all of the application narrative in responding to the selection criteria.

We will reject your application if--

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent

of the page limit.

APPLICABLE REGULATIONS: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 81, 82, 85, 86, 97, 98, and 99; and (b) The regulations for this program in 34 CFR part 663.

PRIORITY

This competition focuses on projects designed to meet a priority in the regulations for this program (34 CFR 663.21(d)), which provides that priorities may be established for certain geographic areas in addition to certain other categories.

Absolute Priority:

A research project that focuses on one or more of the following areas: Africa, East Asia, Southeast Asia and the Pacific, South Asia, the Near East, East Central Europe and Eurasia, and the Western Hemisphere (Canada, Central and South America, Mexico, and the Caribbean). Please note that applications that propose projects focused on Western Europe will not be funded.

Under 34 CFR 75.105(c)(3) we consider only applications that meet the priority.

INSTRUCTIONS FOR TRANSMITTAL OF APPLICATIONS:

Note: Some of the procedures in these instructions for transmitting applications differ from those in the Education Department General Administrative Regulations (EDGAR) (34 CFR 75.102). Under the Administrative Procedure Act (5 U.S.C. 553) the Department generally offers interested parties the

opportunity to comment on proposed regulations. However, these amendments make procedural changes only and do not establish new substantive policy. Therefore, under 5 U.S.C. 553(b)(A), the Secretary has determined that proposed rulemaking is not required.

Pilot Project for Electronic Submission of Applications:

In FY 2003, the U.S. Department of Education is continuing to expand its pilot project of electronic submission of applications to include additional formula grant programs and additional discretionary grant competitions. The Fulbright-Hays Faculty Research Abroad Fellowship Program - CFDA 84.019A is one of the programs included in the pilot project.

The pilot project involves the use of the Electronic Grant Application System (e-APPLICATION, formerly e-GAPS) portion of the Grant Administration and Payment System (GAPS). We request your participation in this pilot project. We shall continue to evaluate its success and solicit suggestions for improvement.

If you participate in this e-APPLICATION pilot, please note the following:

- Your participation is voluntary.
- You will not receive any additional point value or penalty because you submit a grant application in electronic or paper format.
- You can submit all documents electronically, including the Application for Federal Assistance (ED 424), Budget Information--

Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- Within three working days of submitting your electronic application, fax a signed copy of the Application for Federal Assistance (ED 424) to the Application Control Center after following these steps:
 1. Print ED 424 from the e-APPLICATION system.
 2. Make sure that the institution's Authorizing Representative signs this form.
 3. Before faxing this form, submit your electronic application via the e-APPLICATION system. You will receive an automatic acknowledgement, which will include a PR/Award number (an identifying number unique to your application).
 4. Place the PR/Award number in the upper right hand corner of ED 424.
 5. Fax ED 424 to the Application Control Center at (202) 260-1349.
- We may request that you give us original signatures on all other forms at a later date.

You may access the electronic grant application for the Fulbright-Hays Faculty Research Abroad Program at:

<http://e-grants.ed.gov>

We have included additional information about the e-APPLICATION pilot project (see Parity Guidelines between Paper and Electronic Applications) in the application package.

Note 1: An applicant institution of higher education must submit all of its applications in either electronic or paper format. Faculty interested in funding under this program must check with the applicant institution to see which method of submission the institution will use.

Note 2: Please note that due to the Department's end of the fiscal year close out activities, the e-APPLICATION system will be unavailable from October 1. It will become available for users again on Wednesday October 2.

FOR APPLICATIONS AND FURTHER INFORMATION CONTACT: The application for this program is available at:

www.ed.gov/offices/OPE/HEP/iegps/fra.html

Eliza Washington or Amy Wilson, International Education and Graduate Programs Service, U.S. Department of Education, 1990 K Street, NW., Suite 6000, Washington, DC 20006-8521. Telephone: (202) 502-7700 or via Internet:

fra@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotope, or computer diskette) on request to the program contact person listed under FOR APPLICATIONS AND FURTHER INFORMATION CONTACT.

Individuals with disabilities may obtain a copy of the application package in an alternative format by contacting that person. However, the Department is not able to reproduce in an alternative format the standard forms included in the application package.

Electronic Access to This Document

You may view this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

www.ed.gov/legislation/FedRegister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

You may also view this document in PDF at the following site:

<http://www.ed.gov/offices/OPE/HEP/iegps/>

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

<http://www.access.gpo.gov/nara/index.html>

PROGRAM AUTHORITY: 22 U.S.C. 2452(b)(6).

Dated:

Sally L. Stroup,
Assistant Secretary
Office of Postsecondary Education.

Application Transmittal Instructions

An application for an award must be mailed or hand delivered by the closing date.

Applications Delivered by Mail

An application sent by mail must be addressed to:

U.S. Department of Education
Application Control Center
Attention: CFDA Number 84.019
600 Independence Avenue, S.W.
Washington, D.C. 20202-4725

An Application must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service Postmark
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education.

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first class mail.

Each late applicant will be notified that its application will not be considered.

Applications delivered by Hand/Courier Service

An application that is hand delivered must be taken to:

U.S. Department of Education
Application Control Center
Room 3633
Regional Office Building 3
7th & D Streets, S.W.
Washington, D.C. 20202-4725

The Application Control Center will accept deliveries between 8:00 a.m. and 4:30 p.m. (Washington, D.C.) daily, except Saturdays, Sundays and Federal holidays.

Individuals delivering applications must use the D Street entrance. Proper identification is necessary to enter the building.

In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date.

34 CFR Parts 662, 663 and 664

Fulbright-Hays Doctoral Dissertation Research Abroad Fellowship Program, Fulbright-Hays Faculty Research Abroad Fellowship Program, and Fulbright-Hays Group Projects Abroad Program; Final Rule DEPARTMENT OF EDUCATION

34 CFR Parts 662, 663, and 664 RIN 1840-AC53

Fulbright-Hays Doctoral Dissertation Research Abroad Fellowship Program, Fulbright-Hays Faculty Research Abroad Fellowship Program, and Fulbright-Hays Group Projects Abroad Program

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Final regulations.

SUMMARY: The Secretary amends the regulations governing the Higher Education Programs in Modern Foreign Language Training and Area Studies--Doctoral Dissertation Research Abroad Fellowship Program, Faculty Research Abroad Fellowship Program, and Group Projects Abroad Program. These amendments are needed as a result of changes in terminology applicable to these programs and changes in the selection criteria. The final regulations change the names of these programs, remove obsolete references, modify the selection criteria, and make other technical changes.

EFFECTIVE DATES: These regulations take effect September 30, 1998.

FOR FURTHER INFORMATION CONTACT: Karla Ver Bryck Block, U.S. Department of Education, 600 Independence Avenue, SW., Suite 600C Portals Building, Washington, DC 20202-5331. Telephone: (202) 401-9774. Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) at 1-800-877-8339 between 8 a.m. and 8 p.m., Eastern time, Monday through Friday. Individuals with disabilities may obtain this document in an alternate format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact person listed in the preceding paragraph.

SUPPLEMENTARY INFORMATION:

Background

On March 4, 1995 the President announced a Regulatory Reinvention Initiative to reform the Federal regulatory system. In response to the President's initiative, on August 23, 1996 the Secretary issued an Advance Notice of Proposed Rulemaking (ANPRM) to request public comment on the changes being considered in the Department's programs to simplify regulations and reduce regulatory burden (Regulatory Reinvention, 61 FR 43639, August 23, 1996). Regulations for the International Education Programs in 34 CFR Parts 662 (Higher Education Programs in Modern Foreign Language Training and Area Studies--Doctoral Dissertation Research Abroad Fellowship Program), 663 (Faculty Research Abroad Fellowship Program), and 664 (Group Projects Abroad program) were included in the ANPRM. The Secretary received no comments on changes proposed in the ANPRM for the International Education Programs.

Notice of Proposed Rulemaking

On June 19, 1998, the Secretary published a notice of proposed rulemaking (NPRM) for 34 CFR parts 662, 663, and 664 in the Federal Register (63 FR 33765-33776). These final regulations contain one significant change from the NPRM. This change pertains to "health and accident insurance" and is fully explained in the "Analysis of Comments and Changes" elsewhere in this preamble.

Regulatory Changes

As part of the President's Regulatory Reinvention Initiative, the Department is revising the regulations governing the Higher Education Programs in Modern Foreign Language Training and Area Studies--Doctoral Dissertation Research Abroad Fellowship Program, Faculty Research Abroad Fellowship Program, and Group Projects Abroad Program. These amendments are needed to improve the application review process and to

update the regulations in light of developments in the field of foreign language, area, and international studies, including political developments abroad, modifications in the policies and practices of the J. William Fulbright Foreign Scholarship Board, and interpretations of regulations. In the spirit of reinventing government, the goal of the changes is to markedly reduce burden associated with the regulations.

These final regulations change the names of these programs to align them with how they are popularly referred to in the field. Additionally, the final regulations make changes in the terminology applicable to these programs, remove obsolete references, and make changes in the selection criteria. The final regulations also reorganize the sections, change the names of several section titles, correct errors in the numbering of the sections, and make other technical changes to improve the regulations.

The substantive changes in the final regulations are discussed with respect to each part. A number of the substantive changes affect each of the parts being amended (34 CFR Parts 662, 663, and 664). Therefore, in the discussion of the changes under Part 662, it is noted whether the change is duplicated in a corresponding section of Parts 663 or 664.

Part 662

The name of Part 662 is changed to Fulbright-Hays Doctoral Dissertation Research Abroad Fellowship Program. Throughout Parts 662, 663, and 664 the "Board of Foreign Scholarships" is changed to "J. William Fulbright Foreign Scholarship Board" to reflect the change in the name of the board.

Section 662.3 deletes current paragraph (a)(3) to eliminate persons "in the United States for other than a temporary purpose with the intention of becoming a citizen or permanent resident" as eligible applicants. The change reflects the Secretary's decision that to receive a federally funded fellowship, a person should demonstrate commitment to the United States, either by being a citizen or permanent resident. The change furthers the goal of the program to train people who will then serve in the United States educational field. The change also applies to Secs. 663.3 and 664.3.

Section 662.3 also deletes current paragraph (a)(4) which states that a resident of the Trust Territory of the Pacific Islands is eligible for a fellowship, since these islands are no longer a trust territory. The change also applies to Secs. 663.3 and 664.3.

Section 662.6 revises the list of regulations that apply to the Fulbright-Hays Doctoral Dissertation Research Abroad Fellowship Program, to reflect accurately which parts of EDGAR currently apply to the program.

Section 662.7 revises the list of terms used in this part that are defined in 34 CFR Part 77. Terms that are not used in this part are deleted.

Section 662.7(c) changes the definition of "dependent". These final regulations add the requirement that the individual being claimed as a dependent must accompany the recipient to his or her training site for the entire fellowship period. Also, these final regulations narrow the definition of "dependent" to exclude parents of a participant or parents of the participant's spouse. Both changes in the definition are grounded in the need to conserve limited program funds. By requiring that in order to receive a dependent's allowance the dependent be at the training site for the entire fellowship period, the Secretary will preclude the use of program funds for short term visits. The changes in the dependent's definition with regard to parents bring the program's policy toward dependents more in line with similar fellowship programs. Additionally, only once in more than 30 years of program administration has a dependent's allowance been requested for a parent.

Section 662.7(c) eliminates the definition for "foreign currencies" since all foreign currency accounts previously available to the Secretary for operation of this program have been exhausted.

All of the changes to Sec. 662.7(c) also apply to Sec. 663.7(c).

Section 662.10 incorporates the language found in current Sec. 662.21. Paragraph (c) of current Sec. 662.21 which addresses requirements for an applicant who plans to conduct research in the former USSR and Eastern European countries are deleted, since changes in the research climate in those countries have eliminated the need to require an applicant to apply to the International Research and Exchange Board. The change also applies to Sec. 663.10.

Section 662.20(d) preserves and clarifies the current position of the Department relating to veteran's preference. These regulations add language to clarify that if two scores are tied and one of the applicants is a veteran, the applicant who is a veteran will receive a preference. The change also applies to Sec. 663.20(d).

Section 662.21 revises the selection criteria. The revised criteria reflect a greater consistency with criteria used in comparable fellowship programs. This would facilitate writing fellowship applications for individuals since the applications would be similar.

There would also be a greater emphasis on foreign language training. Since these programs were originally intended to enhance the foreign language competence of individuals trained in American schools, the criteria are modified to give greater emphasis to having acquired a foreign language. Paragraph (c)(3) adds the requirement that the applicant be proficient in one or more of the languages of the country or countries of research, excluding English and the applicant's native language. The language most likely would result in a decrease in the number of applications from individuals wishing to conduct research in English and would encourage non-native born United States citizens or resident aliens to acquire an additional foreign language. The Department has experienced a substantial increase in the number of applications for conducting research in English.

The points assigned are changed to allow the readers greater ability to differentiate among the applications. The changes in points assigned are reflected in Sec. 662.21(a), (b), and (c). Due to the extremely high caliber of applications, there is frequently a clustering of high scores. The point structure allows readers a broader range in which to assign points. Under current Sec. 662.21 points are assigned in a narrow range and a multiplication factor is applied, which results in significant clustering of like applications.

The Department has consulted with various experts in language and area studies as well as administrators of fellowship programs in developing the revisions to the selection criteria. Their comments and feedback have been incorporated into these changes.

The changes to Sec. 662.21 also apply to Sec. 663.21.

Section 662.22 incorporates the language from current Sec. 662.33 and adds a new paragraph (b) to prevent an applicant from receiving more than one fellowship under the Fulbright-Hays Act in a given fiscal year. The provision prevents an applicant from receiving a fellowship from the Department and the United States Information Agency (USIA) within the same fiscal year. The change ensures that limited funds appropriated to the agencies have a broader impact and are not used duplicatively. The change reflects the current policy statements of the Foreign Scholarship Board.

Similar to Sec. 662.10, Sec. 662.22 eliminates language from current Sec. 662.33(a)(2) that addresses requirements for an applicant who plans to conduct research in the USSR and Eastern European countries. Changes in the research climate in those countries have eliminated the need to require an applicant to apply to the International Research and Exchange Board. The change also applies to Sec. 663.22.

Part 663

The name of Part 663 is changed to Fulbright-Hays Faculty Research Abroad Fellowship Program.

Section 663.3 outlines who is eligible to receive a fellowship under this program. Current Sec. 663.3(d)(1) and (2) are deleted from the final regulations because they are part of the selection criteria and should not be considered under eligibility.

Section 663.6 revises the list of regulations that apply to the Fulbright-Hays Faculty Research Abroad Fellowship Program, to reflect accurately which parts of EDGAR currently apply to the program.

Part 664

The name of Part 664 is changed to Fulbright-Hays Group Projects Abroad Program.

Section 664.4 revises the list of regulations that apply to the Fulbright-Hays Group Projects Abroad Program, to reflect accurately which parts of EDGAR currently apply to the program.

Section 664.5 revises the list of terms used in this part that are defined in EDGAR, 34 CFR Part 77. Terms that are not used in this part are deleted.

Sections 664.11, 664.12, and 664.13 revise the length of the projects. Section 664.11 changes the length of a short-term project from six weeks under current regulations, to from four to six weeks. Section 664.12 changes the length of a curriculum development project from six to eight weeks under current regulations, to from four to eight weeks. The current provisions encouraged longer periods in the field, even when they were not necessary for the successful accomplishment of the project goals. The revised, shorter project periods will allow applicants greater flexibility in carrying out their projects. Section 664.13 changes the length of a group research project from two to twelve months under current regulations, to three to twelve months. This change is designed to encourage applicants to develop more in depth research and study projects. In order to be consistent with Parts 662 and 663, Sec. 664.30 adds a new paragraph (d), which establishes that the Secretary will consider for funding only projects that an applicant proposes to carry out in a country in which the United States has diplomatic representation.

Section 664.31(a)(2)(v) and (b)(4), which addresses the inclusion of underrepresented groups in the selection criteria for applications, is revised to be consistent with the Education Department General Administrative Regulations (EDGAR) (Sec. 75.210(c)(5) and (d)(1)(iv)). The language requires the applicant to ensure that participants in the Fulbright-Hays Group Projects and its personnel selected for employment are selected without regard to race, color, national origin, gender, age, or handicapping condition.

Section 664.33(b)(1) allows for greater flexibility in establishing annual per diem rates, consistent with the cost-of-living in overseas areas. Current regulations require a maintenance stipend to be based on 50 percent of the amount established in the U.S. Department of State publication "Maximum Travel Per Diem Allowances for Foreign Areas". Section 664.33(b)(1) eliminates the 50 percent limitation, which would permit an upward or a downward adjustment based on the cost of living in the host country.

Section 664.33 is further revised by adding a new paragraph (c), to permit program funds to be used for emergency medical expenses not covered by a participant's health and accident insurance and for repatriation of remains. Under current regulations, sections 662.4(b) and 663.4(b) already provided the Secretary with the discretion to use program funds for emergency medical expenses or repatriation of remains.

Analysis of Comments and Changes

In response to the Secretary's invitation to comment in the NPRM, two parties submitted comments on the proposed regulations. An analysis of the comments and of any changes in the regulations since publication of the NPRM follows.

Major issues are grouped according to subject, with appropriate sections of the regulations referenced in parentheses. Other substantive issues are discussed under the section of the regulations to which they pertain. Technical and minor changes--and suggested changes the Secretary is not legally authorized to make under the applicable statutory authority--generally are not addressed.

Health and Accident Insurance (Secs. 662.4, 663.4, 664.33)

Comments: One commenter suggested that health and accident insurance, including emergency medical evacuation and repatriation of remains, be required for Fulbright-Hays participants and that program funds be made routinely available for this purpose.

Discussion: Program practice under all three programs ensures that health and accident insurance is in place before the research or projects may be undertaken. Current Part 662 provides for the use of program funds for health and accident insurance and permits support for emergency medical expenses and repatriation of remains. Current Part 663 does not provide funds for insurance, because the Department believes that it is appropriate for faculty members to continue their health and accident insurance policies in force while they are overseas. Like Part 662, current Part 663 permits funds to be used for emergency medical expenses and repatriation of remains. Current Part 664 does not explicitly provide for the use of program funds for insurance, emergency medical expenses, or repatriation of remains.

The Department believes that the approach in current regulations concerning the use of program funds for insurance, emergency medical expenses, and repatriation of remains is essentially sound. However, the Department is persuaded that the regulations for the Group Projects Abroad program should expressly permit (but not require) the use of program funds for emergency medical expenses or repatriation of remains. This change is consistent with the long-standing cost-sharing policy of the Group Projects Abroad program.

Changes: Section 664.33 is revised to permit program funds to be used for emergency medical expenses not covered by a participant's health and accident insurance and for repatriation of remains.

Dependent (Sec. 662.7(c))

Comments: One commenter expressed concern that the changes to the definition of "dependent" would so narrow eligible visits as to provide a disincentive for participation in the program, and that the new eligibility requirements would provide a significant barrier to providing access to these programs for the full range of qualified applicants. The commenter further stated that it did not appear appropriate to bar support because a school-age child could visit only during the three summer months of the fellow's overseas work, or because the fellow's employed spouse might be able to be abroad for only a semester, or six months.

Discussion: The Department believes strongly that the changes in the definition of "dependent" are necessary to conserve limited program funds. Further, the Department believes that if a child is spending the school year with a working parent here, and plans to go abroad for only the summer, it is unlikely that the fellow would be eligible for a dependent's allowance even under the current regulations, since eligibility is

contingent upon the fellow's providing at least 50 percent of the dependent's support for the entire fellowship period, not just the time the dependent is in the field.

With respect to a spouse who is working here and can travel abroad for only a semester or six months, the Department again believes that if a spouse is working here, it is unlikely that the fellow would be providing at least 50 percent of the support for the entire fellowship period. Therefore, even under the current regulations, the fellow would not likely qualify for the dependent's allowance.

The Department does not believe that the proposed change in the definition of "dependent" will provide a barrier to participation in the program, and believes that this change is necessary in order to conserve limited funds.

Changes: None.

Diplomatic Representation (Secs. 662.20(b), 663.20(b), 664.30(d))

Comments: One commenter suggested that the Department eliminate any requirement that projects be conducted in countries in which the United States has diplomatic representation.

Discussion: The Department does not agree that the requirement should be eliminated. The review process for the Fulbright-Hays programs has long involved sending the applications to United States diplomatic officials overseas for their comments on budget, feasibility, and political sensitivity. The Department believes that these comments are of immense value in ensuring the success of the projects.

Changes: None

Acquired Foreign Language (Sec. 662.21(c)(3))

Comments: One commenter was troubled by the Department's proposed emphasis in the selection criteria on the use of an acquired (i.e., non-native) foreign language. It was the commenter's view that the purpose of the program is to provide support for the development of high-end expertise in languages other than English regardless of the method of acquisition.

Discussion: The purpose of the Doctoral Dissertation Research Abroad Fellowship Program (DDRA) is primarily to support students conducting research overseas in non-native languages other than English. The Department believes that a student conducting research in his or her native language should not enjoy the advantage in the competition that the current regulations provide. Additionally the Department wishes to preserve the program as a vehicle for overseas research by students who have completed the non-native language training under the Department's Title VI Foreign Language and Area Studies (FLAS) Fellowship program.

Changes: None.

Duration of Group Projects (Secs. 664.11, 664.12, and 664.13)

Comments: One commenter supported the Department's change for group research projects at Sec. 664.13, raising the minimum project time from two to three months. The commenter, however, expressed concern at the Department's proposals to allow for shorter project periods in Secs. 664.11 and 664.12. The commenter generally supported the Department's efforts to permit flexibility in setting project timeframes for applicants to carry out their projects but felt that the proposed minimum project length might be too short.

Discussion: The Department's experience in administering short-term and curriculum development projects and working with the academic community suggests that the greater flexibility proposed in the NPRM would not adversely affect the quality or substance of these projects, and is a desirable change.

Changes: None.

Advanced Overseas Intensive Language Training Project (Sec. 664.14(a)(1))

Comment: One commenter recommended amending Sec. 664.14(a)(1) to permit the support of intermediate as well as advanced intensive language programs under the Group Projects Abroad program.

Discussion: The purpose of overseas language training under this program is to increase a student's competency within the project period to a level that permits the student to use the language in research and other professional activities. The Department believes that, as a general rule, a minimum of two years study of a language is needed prior to this training. However, the Department also recognizes the availability of two years of training in certain languages in this country is very limited or non-existent. For this reason, Sec. 664.14(a)(3) of the notice of proposed rulemaking included the word "generally" to give the Department the flexibility to fund projects for students with fewer than two years of language coursework. The Department plans to consider these projects on a case-by-case basis.

Changes: None.

Paperwork Reduction Act of 1995

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers assigned to the collection of information in these final regulations is displayed at the end of the affected sections of these regulations.

Assessment of Educational Impact

In the NPRM the Secretary requested comments on whether the proposed regulations would require transmission of information that is being gathered by or is available from any other agency or authority of the United States.

Based on the response to the NPRM and on its own review, the Department has determined that the regulations in this document do not require transmission of information that is being gathered by or is available from any other agency or authority of the United States.

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Note: The official version of this document is the document published in the Federal Register.

List of Subjects

34 CFR Parts 662 and 663

Colleges and universities, Education, Educational research, Educational study programs, Fellowships, Reporting and recordkeeping requirements.

34 CFR Part 664

Colleges and universities, Education, Educational study programs, Reporting and recordkeeping requirements, Teachers.

(Catalog of Federal Domestic Assistance Numbers: 84.022 Fulbright-Hays Doctoral Dissertation Research Abroad Fellowship Program; 84.019 Fulbright-Hays Faculty Research Abroad Fellowship Program; and 84.021 Fulbright-Hays Group Projects Abroad Program)

Dated: August 25, 1998.

David A. Longanecker,

Assistant Secretary for Postsecondary Education.

The Secretary amends Chapter VI of Title 34 of the Code of Federal Regulations by revising Parts 662, 663, and 664 to read as follows:

PART 662--FULBRIGHT-HAYS DOCTORAL DISSERTATION RESEARCH ABROAD FELLOWSHIP PROGRAM

Subpart A—General Sec.

662.1 What is the Fulbright-Hays Doctoral Dissertation Research Abroad Fellowship Program?

662.2 Who is eligible to receive an institutional grant under this program?

662.3 Who is eligible to receive a fellowship under this program?

662.4 What is the amount of a fellowship?

662.5 What is the duration of a fellowship?

662.6 What regulations apply to this program?

662.7 What definitions apply to this program?

Subpart B--Applications

662.10 How does an individual apply for a fellowship?

662.11 What is the role of the institution in the application process?

Subpart C--Selection of Fellows

662.20 How is a Fulbright-Hays Doctoral Dissertation Research Abroad Fellow selected?

662.21 What criteria does the Secretary use to evaluate an application for a fellowship?

662.22 How does the J. William Fulbright Foreign Scholarship Board select fellows?

Subpart D--Post-award Requirements for Institutions

662.30 What are an institution's responsibilities after the award of a grant?

Subpart E--Post-award Requirements for Fellows

662.41 What are a fellow's responsibilities after the award of a fellowship?

662.42 How may a fellowship be revoked?

Authority: Section 102(b)(6) of the Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays Act), 22 U.S.C. 2452(b)(6), unless otherwise noted.

Subpart A--General

Sec. 662.1 What is the Fulbright-Hays Doctoral Dissertation Research Abroad Fellowship Program?

(a) The Fulbright-Hays Doctoral Dissertation Research Abroad Fellowship Program is designed to contribute to the development and improvement of the study of modern foreign languages and area studies in the United States by providing opportunities for scholars to conduct research abroad.

(b) Under the program, the Secretary awards fellowships, through institutions of higher education, to doctoral candidates who propose to conduct dissertation research abroad in modern foreign languages and area studies.

(Authority: 22 U.S.C. 2452(b)(6))

Sec. 662.2 Who is eligible to receive an institutional grant under this program?

An institution of higher education is eligible to receive an institutional grant.

(Authority: 22 U.S.C. 2452(b)(6), 2454(e)(1))

Sec. 662.3 Who is eligible to receive a fellowship under this program?

An individual is eligible to receive a fellowship if the individual--

(a)(1) Is a citizen or national of the United States; or

(2) Is a permanent resident of the United States;

(b)(1) Is a graduate student in good standing at an institution of higher education; and

(2) When the fellowship period begins, is admitted to candidacy in a doctoral degree program in modern foreign languages and area studies at that institution;

(c) Is planning a teaching career in the United States upon completion of his or her doctoral program; and

(d) Possesses sufficient foreign language skills to carry out the dissertation research project.

(Authority: 22 U.S.C. 2452(b)(6), 2454(e)(1))

Sec. 662.4 What is the amount of a fellowship?

(a) The Secretary pays--

(1) Travel expenses to and from the residence of the fellow and the country or countries of research;

(2) A maintenance stipend for the fellow and his or her dependents related to cost of living in the host country or countries;

(3) An allowance for research-related expenses overseas, such as books, copying, tuition and affiliation fees, local travel, and other incidental expenses; and

(4) Health and accident insurance premiums.

(b) In addition, the Secretary may pay--

(1) Emergency medical expenses not covered by health and accident insurance; and

(2) The costs of preparing and transporting the remains of a fellow or dependent who dies during the term of the fellowship to his or her former home.

(c) The Secretary announces the amount of benefits expected to be available in an application notice published in the Federal Register.

(Authority: 22 U.S.C. 2452(b)(6), 2454(e) (1) and (2))

Sec. 662.5 What is the duration of a fellowship?

(a) A fellowship is for a period of not fewer than six nor more than twelve months.

(b) A fellowship may not be renewed.

(Authority: 22 U.S.C. 2452(b)(6))

Sec. 662.6 What regulations apply to this program?

The following regulations apply to this program:

(a) The regulations in this part 662; and

(b) The Education Department General Administrative Regulations (EDGAR) (34 CFR parts 74, 75, 77, 81, 82, 85, and 86).

(Authority: 22 U.S.C. 2452(b)(6))

Sec. 662.7 What definitions apply to this program?

(a) Definitions of the following terms as used in this part are contained in 34 CFR part 77: Applicant, Application, Award, EDGAR, Fiscal year, Grant, Secretary

(b) The definition of institution of higher education as used in this part is contained in 34 CFR 600.4.

(c) The following definitions of other terms used in this part apply to this program:

Area studies means a program of comprehensive study of the aspects of a society or societies, including the study of their geography, history, culture, economy, politics, international relations, and languages.

Binational commission means an educational and cultural commission established, through an agreement between the United States and either a foreign government or an international organization, to carry out functions in connection with the program covered by this part.

Dependent means any of the following individuals who accompany the recipient of a fellowship under this program to his or her training site for the entire fellowship period if the individual receives more than 50 percent of his or her support from the recipient during the fellowship period:

(1) The recipient's spouse.

(2) The recipient's or spouse's children who are unmarried and under age 21.

J. William Fulbright Foreign Scholarship Board means the presidentially-appointed board that is responsible for supervision of the program covered by this part.

(Authority: 22 U.S.C. 2452(b)(6), 2456)

Subpart B--Applications

Sec. 662.10 How does an individual apply for a fellowship?

(a) An individual applies for a fellowship by submitting an application to the Secretary through the institution of higher education in which the individual is enrolled.

(b) The applicant shall provide sufficient information concerning his or her personal and academic background and proposed research project to enable the Secretary to determine whether the applicant--

(1) Is eligible to receive a fellowship under Sec. 662.3; and

(2) Should be selected to receive a fellowship under subparts C and D of this part.

(Authority: 22 U.S.C. 2452(b)(6))

Sec. 662.11 What is the role of the institution in the application process?

An institution of higher education that participates in this program is responsible for--

(a) Making fellowship application materials available to its students;

(b) Accepting and screening applications in accordance with its own technical and academic criteria; and

(c) Forwarding screened applications to the Secretary and requesting an institutional grant.

(Authority: 22 U.S.C. 2452(b)(6), 2454(e)(1))

Subpart C--Selection of Fellows

Sec. 662.20 How is a Fulbright-Hays Doctoral Dissertation Research Abroad Fellow selected?

(a) The Secretary considers applications for fellowships under this program that have been screened and submitted by eligible institutions. The Secretary evaluates these applications on the basis of the criteria in Sec. 662.21.

(b) The Secretary does not consider applications to carry out research in a country in which the United States has no diplomatic representation.

(c) In evaluating applications, the Secretary obtains the advice of panels of United States academic specialists in modern foreign languages and area studies.

(d) The Secretary gives preference to applicants who have served in the armed services of the United States if their applications are equivalent to those of other applicants on the basis of the criteria in Sec. 662.21.

(e) The Secretary considers information on budget, political sensitivity, and feasibility from binational commissions or United States diplomatic missions, or both, in the proposed country or countries of research.

(f) The Secretary presents recommendations for recipients of fellowships to the J. William Fulbright Foreign Scholarship Board, which reviews the recommendations and approves recipients.

(Authority: 22 U.S.C. 2452(b)(6), 2456)

Sec. 662.21 What criteria does the Secretary use to evaluate an application for a fellowship?

(a) General. (1) The Secretary uses the criteria in this section to evaluate an application for a fellowship.

(2) The maximum score for all of the criteria is 100 points. However, if priority criteria described in paragraph (c) of this section are used, the maximum score is 110 points.

(3) The maximum score for each criterion is shown in parentheses with the criterion.

(b) Quality of proposed project. (60 points) The Secretary reviews each application to determine the quality of the research project proposed by the applicant. The Secretary considers--

(1) The statement of the major hypotheses to be tested or questions to be examined, and the description and justification of the research methods to be used;

(2) The relationship of the research to the literature on the topic and to major theoretical issues in the field, and the project's originality and importance in terms of the concerns of the discipline;

(3) The preliminary research already completed in the United States and overseas or plans for such research prior to going overseas, and the kinds, quality and availability of data for the research in the host country or countries;

(4) The justification for overseas field research and preparations to establish appropriate and sufficient research contacts and affiliations abroad;

(5) The applicant's plans to share the results of the research in progress and a copy of the dissertation with scholars and officials of the host country or countries; and

(6) The guidance and supervision of the dissertation advisor or committee at all stages of the project, including guidance in developing the project, understanding research conditions abroad, and acquainting the applicant with research in the field.

(c) Qualifications of the applicant. (40 points) The Secretary reviews each application to determine the qualifications of the applicant. The Secretary considers--

(1) The overall strength of the applicant's graduate academic record; (10)

(2) The extent to which the applicant's academic record demonstrates a strength in area studies relevant to the proposed project; (10)

(3) The applicant's proficiency in one or more of the languages (other than English and the applicant's native language) of the country or countries of research, and the specific measures to be taken to overcome any anticipated language barriers; (15) and

(4) The applicant's ability to conduct research in a foreign cultural context, as evidenced by the applicant's references or previous overseas experience, or both. (5)

(d) Priorities. (10 points) (1) The Secretary determines the extent to which the application responds to any priority that the Secretary establishes for the selection of fellows in any fiscal year. The Secretary announces any priorities in an application notice published in the Federal Register.

(2) Priorities may relate to certain world areas, countries, academic disciplines, languages, topics, or combinations of any of these categories. For example, the Secretary may establish a priority for--

(i) A specific geographic area or country, such as the Caribbean or Poland;

(ii) An academic discipline, such as economics or political science;

(iii) A language, such as Tajik or Indonesian; or

(iv) A topic, such as public health issues or the environment.

(Approved by the Office of Management and Budget under control number 1840-0005)

(Authority: 22 U.S.C. 2452(b)(6), 2456(a)(2))

Sec. 662.22 How does the J. William Fulbright Foreign Scholarship Board select fellows?

(a) The J. William Fulbright Foreign Scholarship Board selects fellows on the basis of the Secretary's recommendations and the information described in Sec. 662.20(e) from binational commissions or United States diplomatic missions.

(b) No applicant for a fellowship may be awarded more than one graduate fellowship under the Fulbright-Hays Act from appropriations for a given fiscal year.

(Authority: 22 U.S.C. 2452(b)(6), 2456(a)(1))

Subpart D--Post-award Requirements for Institutions

Sec. 662.30 What are an institution's responsibilities after the award of a grant?

(a) An institution to which the Secretary awards a grant under this part is responsible for administering the grant in accordance with the regulations described in Sec. 662.6.

(b) The institution is responsible for processing individual applications for fellowships in accordance with procedures described in Sec. 662.11.

(c) The institution is responsible for disbursing funds in accordance with procedures described in Sec. 662.4.

(d) The Secretary awards the institution an administrative allowance of \$100 for each fellowship listed in the grant award document.

(Authority: 22 U.S.C. 2452(b)(6), 2454(e)(1))

Subpart E--Post-award Requirements for Fellows

Sec. 662.41 What are a fellow's responsibilities after the award of a fellowship?

As a condition of retaining a fellowship, a fellow shall--

(a) Maintain satisfactory progress in the conduct of his or her research;

(b) Devote full time to research on the approved topic;

(c) Not engage in unauthorized income-producing activities during the period of the fellowship; and

(d) Remain a student in good standing with the grantee institution during the period of the fellowship.

(Authority: 22 U.S.C. 2452(b)(6))

Sec. 662.42 How may a fellowship be revoked?

(a) The fellowship may be revoked only by the J. William Fulbright Foreign Scholarship Board upon the recommendation of the Secretary.

(b) The Secretary may recommend a revocation of a fellowship on the basis of--

(1) The fellow's failure to meet any of the conditions in Sec. 662.41; or

(2) Any violation of the standards of conduct adopted by the J. William Fulbright Foreign Scholarship Board.

(Authority: 22 U.S.C. 2452(b)(6), 2456, and Policy Statements of the J. William Fulbright Foreign Scholarship Board, 1990)

PART 663--FULBRIGHT-HAYS FACULTY RESEARCH ABROAD FELLOWSHIP PROGRAM

Subpart A--General Sec.

663.1 What is the Fulbright-Hays Faculty Research Abroad Fellowship Program?

663.2 Who is eligible to receive an institutional grant under this program?

663.3 Who is eligible to receive a fellowship under this program?

663.4 What is the amount of a fellowship?

663.5 What is the duration of a fellowship?

663.6 What regulations apply to this program?

663.7 What definitions apply to this program?

Subpart B--Applications

663.10 How does an individual apply for a fellowship?

663.11 What is the role of the institution in the application process?

Subpart C--Selection of Fellows

663.20 How is a Fulbright-Hays Faculty Research Abroad Fellow selected?

663.21 What criteria does the Secretary use to evaluate an application for a fellowship?

663.22 How does the J. William Fulbright Foreign Scholarship Board select fellows?

Subpart D--Post-award Requirements for Institutions

663.30 What are an institution's responsibilities after the award of a grant?

Subpart E--Post-award Requirements for Fellows

663.41 What are a fellow's responsibilities after the award of a fellowship?

663.42 How may a fellowship be revoked?

Authority: Sec. 102(b)(6) of the Mutual Educational and Cultural Exchange Act of 1961 (Fulbright-Hays Act), 22 U.S.C. 2452(b)(6), unless otherwise noted.

Subpart A--General

Sec. 663.1 What is the Fulbright-Hays Faculty Research Abroad Fellowship Program?

(a) The Fulbright-Hays Faculty Research Abroad Program is designed to contribute to the development and improvement of modern foreign language and area studies in the United States by providing opportunities for scholars to conduct research abroad.

(b) Under the program, the Secretary awards fellowships, through institutions of higher education, to faculty members who propose to conduct research abroad in modern foreign languages and area studies to improve their skill in languages and knowledge of the culture of the people of these countries.

(Authority: 22 U.S.C. 2452(b)(6))

Sec. 663.2 Who is eligible to receive an institutional grant under this program?

An institution of higher education is eligible to receive an institutional grant.

(Authority: 22 U.S.C. 2452(b)(6), 2454(e)(1))

Sec. 663.3 Who is eligible to receive a fellowship under this program?

An individual is eligible to receive a fellowship if the individual--

(a)(1) Is a citizen or national of the United States; or

(2) Is a permanent resident of the United States;

(b) Is employed by an institution of higher education;

(c) Has been engaged in teaching relevant to his or her foreign language or area studies specialization for the two years immediately preceding the date of the award;

(d) Proposes research relevant to his or her modern foreign language or area specialization which is not dissertation research for a doctoral degree; and

(e) Possesses sufficient foreign language skills to carry out the research project.

(Authority: 22 U.S.C. 2452(b)(6), 2454(e)(1))

Sec. 663.4 What is the amount of a fellowship?

(a) The Secretary pays--

(1) Travel expenses to and from the residence of the fellow and the country or countries of research;

(2) A maintenance stipend for the fellow related to his or her academic year salary; and

(3) An allowance for research-related expenses overseas, such as books, copying, tuition and affiliation fees, local travel, and other incidental expenses.

(b) The Secretary may pay--

(1) Emergency medical expenses not covered by the faculty member's health and accident insurance; and

(2) The costs of preparing and transporting the remains of a fellow or dependent who dies during the term of the fellowship to his or her former home.

(c) The Secretary announces the amount of benefits expected to be available in an application notice published in the Federal Register.

(Authority: 22 U.S.C. 2452(b)(6), 2454(e) (1) and (2))

Sec. 663.5 What is the duration of a fellowship?

(a) A fellowship is for a period of not fewer than three nor more than twelve months.

(b) A fellowship may not be renewed.

(Authority: 22 U.S.C. 2452(b)(6))

Sec. 663.6 What regulations apply to this program?

The following regulations apply to this program:

(a) The regulations in this part 663; and

(b) The Education Department General Administrative Regulations (EDGAR) (34 CFR parts 74, 75, 77, 81, 82, 85, and 86).

(Authority: 22 U.S.C. 2452(b)(6))

Sec. 663.7 What definitions apply to this program?

(a) Definitions of the following terms as used in this part are contained in 34 CFR part 77: Applicant, Application, Award, EDGAR, Fiscal year, Grant, Secretary

(b) The definition of institution of higher education as used in this part is contained in 34 CFR 600.4.

(c) The following definitions of other terms used in this part apply to this program:

Area studies means a program of comprehensive study of the aspects of a society or societies, including the study of their geography, history, culture, economy, politics, international relations, and languages.

Binational commission means an educational and cultural commission established, through an agreement between the United States and either a foreign government or an international organization, to carry out functions in connection with the program covered by this part.

Dependent means any of the following individuals who accompany the recipient of a fellowship under this program to his or her training site for the entire fellowship period if the individual receives more than 50 percent of his or her support from the recipient during the fellowship period:

- (1) The recipient's spouse.
- (2) The recipient's or spouse's children who are unmarried and under age 21.

J. William Fulbright Foreign Scholarship Board means the presidentially-appointed board that is responsible for supervision of the program covered by this part.

(Authority: 22 U.S.C. 2452(b)(6), 2456)

Subpart B--Applications

Sec. 663.10 How does an individual apply for a fellowship?

(a) An individual applies for a fellowship by submitting an application to the Secretary through the institution of higher education at which the individual is employed.

(b) The applicant shall provide sufficient information concerning his or her personal and academic background and proposed research project to enable the Secretary to determine whether the applicant--

- (1) Is eligible to receive a fellowship under Sec. 663.3; and
- (2) Should be selected to receive a fellowship under subparts C and D of this part.

(Authority: 22 U.S.C. 2452(b)(6))

Sec. 663.11 What is the role of the institution in the application process?

An institution of higher education that participates in this program is responsible for--

- (a) Making fellowship application materials available to its faculty;
- (b) Accepting and screening applications in accordance with its own technical and academic criteria; and
- (c) Forwarding screened applications to the Secretary through a request for an institutional grant.

(Authority: 22 U.S.C. 2452(b)(6), 2454(e)(1))

Subpart C--Selection of Fellows

Sec. 663.20 How is a Fulbright-Hays Faculty Research Abroad Fellow selected?

(a) The Secretary considers applications for fellowships under this program that have been screened and submitted by eligible institutions. The Secretary evaluates these applications on the basis of the criteria in Sec. 663.21.

(b) The Secretary does not consider applications to carry out research in a country in which the United States has no diplomatic representation.

(c) In evaluating applications, the Secretary obtains the advice of panels of United States academic specialists in modern foreign languages and area studies.

(d) The Secretary gives preference to applicants who have served in the armed services of the United States if their applications are equivalent to those of other applicants on the basis of the criteria in Sec. 663.21.

(e) The Secretary considers information on budget, political sensitivity, and feasibility from binational commissions or United States diplomatic missions, or both, in the proposed country or countries of research.

(f) The Secretary presents recommendations for recipients of fellowships to the J. William Fulbright Foreign Scholarship Board, which reviews the recommendations and approves recipients.

(Authority: 22 U.S.C. 2452(b)(6), 2456)

Sec. 663.21 What criteria does the Secretary use to evaluate an application for a fellowship?

(a) General. (1) The Secretary uses the criteria in this section to evaluate an application for a fellowship.

(2) The maximum score for all of the criteria is 100 points. However, if priority criteria described in paragraph (c) of this section are used, the maximum score is 110 points.

(3) The maximum score for each criterion is shown in parentheses with the criterion.

(b) Quality of proposed project. (60 points) The Secretary reviews each application to determine the quality of the research project proposed by the applicant. The Secretary considers--

(1) The statement of the major hypotheses to be tested or questions to be examined, and the description and justification of the research methods to be used;

(2) The relationship of the research to the literature on the topic and to major theoretical issues in the field, and the project's importance in terms of the concerns of the discipline;

(3) The preliminary research already completed or plans for research prior to going overseas, and the kinds, quality and availability of data for the research in the host country or countries;

(4) The justification for overseas field research, and preparations to establish appropriate and sufficient research contacts and affiliations abroad;

(5) The applicant's plans to share the results of the research in progress with scholars and officials of the host country or countries and the American scholarly community; and

(6) The objectives of the project regarding the sponsoring institution's plans for developing or strengthening, or both, curricula in modern foreign languages and area studies.

(c) Qualifications of the applicant. (40 points) The Secretary reviews each application to determine the qualifications of the applicant. The Secretary considers--

(1) The overall strength of applicant's academic record (teaching, research, contributions, professional association activities); (10)

(2) The applicant's excellence as a teacher or researcher, or both, in his or her area or areas of specialization; (10)

(3) The applicant's proficiency in one or more of the languages (other than English and the applicant's native language), of the country or countries of research, and the specific measures to be taken to overcome any anticipated language barriers; (15) and

(4) The applicant's ability to conduct research in a foreign cultural context, as evidenced by the applicant's previous overseas experience, or documentation provided by the sponsoring institution, or both. (5)

(d) Priorities. (10 points) (1) The Secretary determines the extent to which the application responds to any priority that the Secretary establishes for the selection of fellows in any fiscal year. The Secretary announces any priorities in an application notice published in the Federal Register.

(2) Priorities may relate to certain world areas, countries, academic disciplines, languages, topics, or combinations of any of these categories. For example, the Secretary may establish a priority for--

(i) A specific geographic area or country, such as East Asia or Latvia;

(ii) An academic discipline, such as history or political science;

(iii) A language, such as Hausa or Telegu; or

(iv) A topic, such as religious fundamentalism or migration.

(Approved by the Office of Management and Budget under control number 1840-0005)

(Authority: 22 U.S.C. 2452(b)(6), 2456(a)(2))

Sec. 663.22 How does the J. William Fulbright Foreign Scholarship Board select fellows?

The J. William Fulbright Foreign Scholarship Board selects fellows on the basis of the Secretary's recommendations and the information described in Sec. 663.20(e) from binational commissions or United States diplomatic missions.

(Authority: 22 U.S.C. 2452(b)(6), 2456(a)(1))

Subpart D--Post-award Requirements for Institutions

Sec. 663.30 What are an institution's responsibilities after the award of a grant?

(a) An institution to which the Secretary awards a grant under this part is responsible for administering the grant in accordance with the regulations described in Sec. 663.6.

(b) The institution is responsible for processing individual applications for fellowships in accordance with procedures described in Sec. 663.11.

(c) The institution is responsible for disbursing funds in accordance with procedures described in Sec. 663.4.

(d) The Secretary awards the institution an administrative allowance of \$100 for each fellowship listed in the grant award document.

(Authority: 22 U.S.C. 2452(b)(6), 2454(e)(1))

Subpart E--Post-award Requirements for Fellows

Sec. 663.41 What are a fellow's responsibilities after the award of a fellowship?

As a condition of retaining a fellowship, a fellow shall--

(a) Maintain satisfactory progress in the conduct of his or her research;

(b) Devote full time to research on the approved topic;

(c) Not engage in unauthorized income-producing activities during the period of the fellowship; and

(d) Remain employed by the grantee institution during the period of the fellowship.

(Authority: 22 U.S.C. 2452(b)(6))

Sec. 663.42 How may a fellowship be revoked?

(a) The fellowship may be revoked only by the J. William Fulbright Foreign Scholarship Board upon the recommendation of the Secretary.

(b) The Secretary may recommend a revocation of a fellowship on the basis of—

(1) The fellow's failure to meet any of the conditions in Sec. 663.41; or

(2) Any violation of the standards of conduct adopted by the J. William Fulbright Foreign Scholarship Board.

(Authority: 22 U.S.C. 2452(b)(6), 2456, and Policy Statements of the J. William Fulbright Foreign Scholarship Board, 1990)

INSTRUCTIONS AND FORMS FOR THE APPLYING COLLEGE OR UNIVERSITY

SECTION B

Public reporting burden for this collection of information is estimated at an average of 8 hours for each faculty member and 15 hours for each project director, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and to the Office of Management and Budget, Paperwork Reduction Project 1840-0005, Washington, D.C. 20503.

Instructions for Institution's Contact Person

Responsibilities of the Institution's Contact Person

The contact person at the applying college or university is responsible for:

- (a) Distributing individual application packets to eligible faculty members.
- (b) Accepting and screening individual applications in accordance with the institution's own technical and academic criteria and the program's eligibility requirements.
- (c) Transmitting in a single submission, all recommended individual Faculty Research Abroad applications with two copies of the *Application for Federal Education Assistance* (Standard Form 424), one copy of the *Assurances -- Non-Construction Programs* (ED Form 424B) and one copy of the *Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements* to the U.S. Department of Education Application Control Center, Washington D.C. 20202 in accordance with the guidelines published in the notice inviting applications for new awards and contained in the mailing instructions.
- (d) Announcing the preliminary results of the competition to individual applicants (i.e., candidate status, alternate status, non-selection). An executed copy of the Grant Agreement between the U.S. Department of Education (ED) and the higher education institution listing fellowship holders and award benefits will constitute the official announcement of the award. The announcement will be made on or about June 30.
- (e) Administering the grant and disbursing funds.

Supplemental Instructions for the Application for Federal Education Assistance (Standard Form 424)

Two copies of this form are used by the institution of higher education to transmit all individual Faculty Research Abroad applications in a single submission.

The instructions for the items given below are to be used in lieu of or along with the general instructions contained in this application packet.

Item 1. State name of college or university and complete mailing address.

Item 2. Provide the institution's Data Universal Numbering System (D-U-N-S) number. You can obtain your D-U-N-S number at no charge by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL:
<http://www.dnb.com/dbis/aboutdb/intlduns.htm>.

Item 3. Enter the tax identification number as assigned by the Internal Revenue Service

Item 4. Print 019 in the boxes.

Item 5. The project director should be the higher education institution's representative who will be responsible for the daily administration of the program while the researcher is overseas. State mailing address, telephone number and email address of the project director.

Item 6. Self-explanatory.

Item 7. Self-explanatory.

Item 8. Self-explanatory.

Item 9. Check the Non-Construction box under application.

Item 10. Check "No" and check "Program is not covered by E.O. 12372".

Item 12. See section on Human Subjects in the instructions.

Item 14. (a)(g). The estimated funding equals the sum of the total amounts requested by each individual applicant..

Item 14. (b)(c)(d)(e)(f). Enter "\$0.00".

Item 16: List names of individual applicants, their country or countries of research and the amount of each fellowship. *Assurances -- Non-Construction Programs (SF 424B)*

One copy of this form must be completed by the authorized representative of the college or university and accompany Standard Form 424.

Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED Form 80-0013)

One copy of this form must be completed by the authorized representative of the college or university and accompany Standard Form 424.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions (ED Form 80-0014)

One copy of this form must be signed and dated by each individual listed on Item 15 of Standard Form 424 and retained in the files of the institutional contact person.

Disclosure of Lobbying Activities (SF-LLL)

One copy of this form must be completed by the authorized representative of the college or university and accompany Standard Form 424, if applicable.

Application for Federal EDUCATION ASSISTANCE (ED 424)



U.S. Department of Education

Form Approved
OMB No. 1875-0106
Exp. 11/30/2004

Applicant Information

1. Name and Address

Legal Name: _____

Address: _____

Organizational Unit

City _____ State _____ County _____ ZIP Code + 4 _____

2. Applicant's D-U-N-S Number _____

6. Novice Applicant ☐ Yes ☐ No

3. Applicant's T-I-N _____

7. Is the applicant delinquent on any Federal debt? ☐ Yes ☐ No
(If "Yes," attach an explanation.)

4. Catalog of Federal Domestic Assistance #: 84. _____

Title: _____

8. Type of Applicant (Enter appropriate letter in the box.) ☐

5. Project Director: _____

Address: _____

A - State
B - Local
C - Special District
D - Indian Tribe
E - Individual
F - Independent School District
G - Public College or University
H - Private, Non-profit College or University
I - Non-profit Organization
J - Private, Profit-Making Organization

K - Other (Specify): _____

City _____ State _____ Zip code + 4 _____

Tel. #: () _____ - _____ Fax #: () _____ - _____

E-Mail Address: _____

Application Information

9. Type of Submission:

-PreApplication *-Application*
☐ Construction ☐ Construction
☐ Non-Construction ☐ Non-Construction

10. Is application subject to review by Executive Order 12372 process?

☐ Yes (Date made available to the Executive Order 12372 process for review): ____/____/____

☐ No (If "No," check appropriate box below.)

☐ Program is not covered by E.O. 12372.

☐ Program has not been selected by State for review.

12. Are any research activities involving human subjects planned at any time during the proposed project period?

☐ Yes (Go to 12a.) ☐ No (Go to item 13.)

12a. Are all the research activities proposed designated to be exempt from the regulations?

☐ Yes (Provide Exemption(s) #): _____

☐ No (Provide Assurance #): _____

11. Proposed Project Dates: ____/____/____ - ____/____/____

Start Date: End Date:

13. Descriptive Title of Applicant's Project:

Estimated Funding

14a. Federal \$ _____ .00

b. Applicant \$ _____ .00

c. State \$ _____ .00

d. Local \$ _____ .00

e. Other \$ _____ .00

f. Program Income \$ _____ .00

g. TOTAL \$ _____ .00

Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.) _____

b. Title: _____

c. Tel. #: () _____ - _____ Fax #: () _____ - _____

d. E-Mail Address: _____

e. Signature of Authorized Representative _____ Date: ____/____/____

ITEM 16

Names of Individual Applicants

Country (ies) of Research

Amounts Requested

Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
 - 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
 - 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
 - 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.
- Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
 - 8. Type of Applicant.** Enter the appropriate letter in the box provided.
 - 9. Type of Submission.** See "Definitions for Form ED 424" attached.
 - 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
 - 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
 - 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

If Not Human Subjects Research. Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

If Human Subjects Research. Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")
- 12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.
 - 12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations.** Check "No" if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.
 - 12a. Human Subjects Assurance Number.** If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.
- Note about Institutional Review Board Approval.** ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.
- 13. Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
 - 14. Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.
 - 15. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must

be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

PAPERWORK BURDEN STATEMENT. ACCORDING TO THE PAPERWORK REDUCTION ACT OF 1995, NO PERSONS ARE REQUIRED TO RESPOND TO A COLLECTION OF INFORMATION UNLESS SUCH COLLECTION DISPLAYS A VALID OMB CONTROL NUMBER. THE VALID OMB CONTROL NUMBER FOR THIS INFORMATION COLLECTION IS **1875-0106**. THE TIME REQUIRED TO COMPLETE THIS INFORMATION COLLECTION IS ESTIMATED TO AVERAGE

BETWEEN 15 AND 45 MINUTES PER RESPONSE, INCLUDING THE TIME TO REVIEW INSTRUCTIONS, SEARCH EXISTING DATA RESOURCES, GATHER THE DATA NEEDED, AND COMPLETE AND REVIEW THE INFORMATION COLLECTION. **IF YOU HAVE ANY COMMENTS CONCERNING THE ACCURACY OF THE ESTIMATE(S) OR SUGGESTIONS FOR IMPROVING THIS FORM, PLEASE WRITE TO: U.S. DEPARTMENT OF EDUCATION, WASHINGTON, D.C. 20202-4651. IF YOU HAVE COMMENTS OR CONCERNS REGARDING THE STATUS OF YOUR INDIVIDUAL SUBMISSION OF THIS FORM WRITE DIRECTLY TO: JOYCE I. MAYS, APPLICATION CONTROL CENTER, U.S. DEPARTMENT OF EDUCATION, 7TH AND D STREETS, S.W. ROB-3, ROOM 3633, WASHINGTON, D.C. 20202-4725**

Definitions for Form ED 424

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

Type of Submission. "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or

supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person’s environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects’ responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects’ financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 12 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

A. Exempt Research Narrative.

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C., 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C., 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C., 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C., 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C., 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C., 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C., 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C., 276a to 276a-7), the Copeland Act (40 U.S.C., 276c and 18 U.S.C., 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C., 327-333), regarding labor standards for federally assisted construction subagreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C., 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C., 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C., 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C., 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C., 469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C., 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C., 4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, ☐ Audits of States, Local Governments, and Non-Profit Organizations. ☐
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

Standard Form 424B (Rev. 7-97) Back

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transactions

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled ☐ Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, ☐ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0014, 9/90 (Replaces GCS-009 (REV.12/88), which is obsolete)

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

1. Type of Federal Action: _____ a. contract _____ b. grant _____ c. cooperative agreement _____ d. loan _____ e. loan guarantee _____ f. loan insurance	2. Status of Federal Action: _____ a. bid/offer/application _____ b. initial award _____ c. post-award	3. Report Type: _____ a. initial filing _____ b. material change For material change only: Year _____ quarter _____ Date of last report _____
4. Name and Address of Reporting Entity: _____ Prime _____ Subawardee Tier _____, if Known Congressional District, if known:	5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:	
6. Federal Department/Agency: 	7. Federal Program Name/Description: <i>Federal Program Name/Description:</i> CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	10. b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)	

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

**Notice to Applicants:
The Government Performance and Results Act (GPRA)**

What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

- Goal 1: Create a Culture of Achievement*
- Goal 2: Improve Student Achievement*
- Goal 3: Develop Safe Schools and Strong Character*
- Goal 4: Transform Education into an Evidence-based Field*
- Goal 5: Enhance the Quality and Access to Postsecondary and Adult Education*
- Goal 6: Establish Management Excellence*

The performance indicators for the International Education Programs are part of the Department's plan for meeting Goal 5: Enhance the Quality and Access to Postsecondary and Adult Education.

What are the Performance Indicators for the International Education Programs?

The Department's specific goal for the International Education Programs is "to meet the nation's security and economic needs through the development and maintenance of a national capacity in foreign languages, and area and international studies." The objective and performance indicators are as follows:

- 1. Maintain a U.S. higher education system with the capacity to produce experts in less commonly taught languages and area studies who are capable of contributing to the needs of U.S. government, academic, and business institutions.**
 - (1.1) Title VI supported institutions provide the majority of the instruction in foreign languages, especially in less commonly taught languages.
 - (1.2) Percentage of graduates of Title VI supported programs report that they found employment that utilize their language and/or area expertise.

INSTRUCTIONS AND FORMS FOR FACULTY

SECTION C

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1840-0005**. The time required to complete this information collection is estimated to average 8 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to** FRA Program IEGPS/OPE. Department of Education, 400 Maryland Avenue, SW (1990 K St, NW, 6th Floor), Washington, DC20202-4651.

Instructions for Faculty

Program Objective

Section 102(b)(6) of the Mutual Education and Cultural Exchange Act of 1961 (Fulbright-Hays Act) has as its objective the promotion, improvement, and development of modern foreign languages and area studies throughout the educational structure of the United States. To help accomplish this objective the Faculty Research Abroad program provides opportunities for scholars to conduct research overseas in the field of modern foreign languages and area studies.

For the purpose of these programs, area studies is defined as a program of comprehensive study of the aspects of a society or societies, including the study of their geography, history, culture, economy, politics, international relations, and languages.

Research overseas means research outside the United States, Puerto Rico, Guam, American Samoa, and the American Virgin Islands. Research will not be funded in countries in which the United States has no diplomatic representation or which are specifically excluded in the Notice of Closing Date annually published in the *Federal Register*.

For a complete description of the programs, consult the US Department of Education Regulations 34 Code of Federal Regulations Parts 663.

Eligibility Requirements

To be eligible to receive an award under the Faculty Research Abroad Program, a faculty member must:

1. (a) Be a citizen of the United States; or
(b) Be a permanent resident of the United States;
2. Be employed by an institution of higher education as defined in the program regulations.
3. Have been engaged in teaching relevant to his or her foreign language or area studies specialization for the two years immediately preceding the date of the award.
4. Propose research relevant to his or her modern foreign language or area studies specialization which (a) cannot be conducted in the United States or for which a foreign country or region provides significantly superior research facilities; (b) will contribute to the development or improvement of the study of modern foreign languages or area studies in the fields needed for full understanding of the area, regions, or countries in which modern foreign languages are commonly used, and (c) is not dissertation research for a doctoral degree.
5. Possess adequate skills in the language(s) necessary to successfully carry out the project.

Instructions for Fulbright-Hays Training Grants Application Form

In order that each individual applicant be evaluated properly according to the published procedures, eligibility requirements, and evaluation criteria, it is recommended that this specific application package be completed by each individual scholar applying for the Fulbright-Hays fellowship.

Item 1-4: self-explanatory

Item 5: Enter the name of the institution through which you are applying. A faculty member planning to conduct research must apply to the Faculty Research Abroad Program through the university in which he or she is enrolled in a doctoral program.

Items 6-8: self-explanatory

Item 9: Indicate all the foreign languages to be used in your research during the fellowship period and submit a completed *Fulbright-Hays Foreign Language Reference Form* for each foreign language listed.

Item 10: Indicate the start and end dates for conducting your research under the fellowship. Activation of the award may be as early as June 1 for faculty members, provided: a US/ED Grant Agreement has

been executed, travel has been approved, and the appropriate research clearances and research visas have been secured by the individual scholar. All research must be completed by December 31 of the year following the year in which the grant is made. Awards for full time research of 3 to 12 months' duration will be offered for individual faculty members. Fellowships are not renewable.

Items 11-12: self-explanatory

Item 13: If resident alien, provide Alien Registration Number, country of birth, and previous citizenship. Please refer to the program's citizenship requirements previously cited in the section dealing with eligibility.

Item 14: Provide all academic degrees awarded, institutions from which they were granted and the disciplines in which they were granted.

Item 15: self-explanatory

Item 16: Provide an abstract of no more than 120 words describing your proposed research including a summary of the research to be conducted as well as institutional and individual affiliations.

Item 17: self-explanatory

Item 18: Indicate previous relevant foreign travel, precise period of stay and purpose (e.g., participation in an overseas language program) and specify all previous travel to the proposed host countries listed in item 8.

Items 19- 20: Indicate whether you are in default on any US Department of Education Student Financial Assistance loan, US Department of Education grant or any other Federal loan.

Item 21: Indicate whether you have been the recipient of these fellowships.

Item 22: Indicate current applications for other fellowships.

Item 23: The signature of the physician or certified nurse practitioner must be on this form. Do not send a separate medical evaluation.

Item 24a: List, in complete detail, starting with the airport closest to your current or permanent address, all points of travel related to your proposed project departure from and return to the United States (e.g., Philadelphia, PA - London, UK - Johannesburg, SA - London, UK - Philadelphia, PA). The itinerary should not exceed a 12-month period and must include all countries for which a maintenance allowance is requested.

All international travel estimates should be based on commercial high season rates for jet economy travel **on U.S. flag carriers**. If approved in advance, international travel by automobile, train, or ship may be authorized in certain cases. The cost of travel by surface carrier may not exceed the cost of jet economy travel via the most direct route for the itinerary listed in the Grant Agreement. Travel by sea also must be on a U.S. flag carrier.

You will not be authorized to travel on grant funds until you have secured the appropriate "research" visas, research permission, and, if necessary, the appropriate affiliation with a host country institution. All travel must comply with the Fly America Act and be approved in writing by the Education Program Staff, US/ED.

No support for dependents' travel is provided.

Item 24b: Indicate your annual academic year salary at the time of application (excluding summer salary, anticipated increases, or benefits) and any duplicating support (e.g., foundation grants, fellowships, sabbatical pay, etc.).

Compute the amount requested on the basis of the following formula:

Monthly stipend equals annual academic year salary (not including summer salary, anticipated increases, or benefits) at the time of application divided by 9.

The total amount requested equals the monthly stipend multiplied by the number of months to be spent overseas adjusted for duplicating support. Please note that there are no dependents' allowances under the Faculty Research Abroad Program.

Item 24c: Indicate any duplicating support received. This amount is a negative number since you will subtract it from the total amount you are requesting.

Item 25d: Compute and justify in detail your needs for this allowance which may include expenses such as books, copying, informants, tutoring, translating and interpreting fees, tapes, film, travel within host countries, affiliation fees, etc. This allowance does not cover costs incurred in the United States such as, expenses of passports including photographs or medical expenses such as malaria pills or vaccinations.

The cost of health and accident insurance for a Faculty Research Abroad award recipient and contributions for faculty retirement must be borne by the individual or his or her institution.

Item 24e: Fixed \$100 administrative fee paid to institution.

Item 24f: Indicate sum of 25a through 25e

Item 25: An application will not be considered unless dated and signed by the individual applicant.

Item 26: The curriculum vita ought to be brief and address those previously cited evaluation criteria focused on the qualifications of the individual applicant. You may wish to list relevant course work dealing with your language and area studies specialization; indicate fellowships and honors received; describe your publications record and any other items which, in your opinion, give a panel of scholars a comprehensive view of your past achievements, ability to successfully complete the particular research described in this proposal, and overall promise as a teacher and/or research scholar. You may use this page as a cover sheet for your own professional c.v.

Item 27: This page ought to be used as the title page of your project description. The project description must be limited to 2500 words (i.e., 10 double-spaced pages using size 12 font with one inch margins).

You should develop your 10 page, double-spaced project description taking into account the evaluation criteria provided in the sample Technical Review Form. Given the fact that, in addition to language and area studies scholars, non-specialists are included in the evaluation process and that host country officials will review your application and ultimately decide whether research permission is granted, you may also wish to consider the following factors when developing your project description:

- a. Host country sensitivities and interests.
- b. The use of English which can readily be understood by well-educated non-specialists.

Awards are not made to applicants planning to conduct research on topics which are determined to be politically sensitive by the host country or unfeasible. It should also be noted that the U.S. Department of Education will not submit to the host country any "dummy" proposal (i.e., proposals which do not accurately reflect the research purpose in the hope of avoiding difficulties with host country acceptance of the proposal).

Instructions for Fulbright-Hays Foreign Language Reference Form

The language reference form, which is required for this program, should be completed by a specialist in the language and returned to the contact person at the applying college or university. A completed reference for each language listed in item 9 of the *Fulbright-Hays Training Grants Application Form* must be submitted.

Instructions for Fulbright-Hays Faculty Institutional Support Statement

This statement should be prepared by an administrator of the institution of higher education who is knowledgeable about the applicant's abilities and the institution's language and area studies resources. It should describe how the project will contribute to the institution's plans for developing and strengthening its program in foreign languages and area studies. It should explain how the institution plans to utilize the faculty member's experience upon completion of the fellowship and must endorse the project on the basis of the candidate's professional competence, personal suitability, and availability to accept the award is offered.

INSTRUCTIONS FOR ASSEMBLY, DUPLICATION AND TRANSMISSION

A completed individual application packet contains, to be forwarded by the contact person at the applying college/university should contain the items specified below and be assembled as follows:

1. The original copies of the following forms stapled in the order stated below:
 - (a) *Fulbright-Hays Training Grants Application Form* including c.v. and project description submitted via the web.
 - (b) One *Fulbright-Hays Foreign Language Reference Form*, for each language needed to conduct the research outlined, submitted by your referee via the web.
 - (c) Three *Fulbright-Hays Faculty Institutional Support Form* submitted by your referee via the web.

2. Two duplicate copies of the items specified above for the J. William Fulbright Foreign Scholarship Board and the US Embassy in the host country of research.
3. If the applicant is proposing research in more than one country, he or she is requested to voluntarily provide one additional copy for each additional country.

A complete institutional application to the Faculty Research Abroad Program is the sum of all completed individual application packets emailed with the Application for Federal Education Assistance (Standard Form 424), *Assurances -- Non-Construction Programs* (Standard Form 424B); *Certification Regarding Lobbying*; *Debarment, Suspension and Other Responsibility Matters*; *Drug-Free Workplace Requirements*; and *Disclosure of Lobbying Activities*. References will be emailed separately and transcripts will be mailed separately. Failure to meet the deadline published in the *Federal Register* will mean rejection of the application without consideration. There is no appeal of this requirement.

5C

17.	Name(s) of Accompanying Dependent(s)	Relationship	Age
18.	Previous Overseas Travel		
19.	Grant Refunds Due <input type="checkbox"/> Yes <input type="checkbox"/> No	20.	Default on Loans <input type="checkbox"/> Yes <input type="checkbox"/> No
21.	Previously Awarded Fellowships <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <input type="checkbox"/> Jacob Javits <input type="checkbox"/> Title VI FLAS / NDFL <input type="checkbox"/> US/ED Doctoral Dissertation Research Abroad </div> <div style="width: 48%;"> <input type="checkbox"/> US/ED Group Projects Abroad <input type="checkbox"/> State Dept. / IIE Fulbright <input type="checkbox"/> State Dept. / CIES Fulbright </div> </div>		
22.	Current Application for Other Fellowships <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <input type="checkbox"/> Int'l Research and Exchanges Board (IREX) <input type="checkbox"/> Jacob Javits <input type="checkbox"/> Social Science Research Council (SSRC) <input type="checkbox"/> Title VI FLAS </div> <div style="width: 48%;"> <input type="checkbox"/> US/ED Group Projects Abroad <input type="checkbox"/> State Dept. / CIES Fulbright <input type="checkbox"/> Other (please specify) _____ </div> </div>		
23.	Certification <i>The candidate named in this application is physically and psychologically able to carry out all phases of the project as described in this proposal.</i>		
	Name of Physician or Certified Nurse Practitioner	Address	Telephone No.
	Signature		Date
For Official US/ED Use Only - do not write in the section below			

24. Budget Request		
a.	International Economy Travel and Baggage <u>Itinerary:</u>	\$
b.	Maintenance Allowance for Research Period Compute your monthly maintenance rate using the formula: Academic Year Salary / 9 = Monthly Maintenance Rate \$ _____ / 9 = \$ _____ <div style="background-color: #cccccc; height: 15px; width: 100%;"></div> <div style="display: flex; justify-content: space-between;"><div><u>Monthly Maintenance Rate</u></div><div><u>No. of Months</u></div><div>=</div><div>\$</div></div>	
c.	Duplicating Support Please indicate any duplicating support received (e.g., foundation grants, fellowships, sabbatical pay, etc.)	(\$)
d.	Project Allowance	\$
e.	Administrative Fee to US Applicant Institution	\$100
f.	Total	\$
25. Certification		
<i>I certify that all information provided on this form is correct to the best of my knowledge.</i>		
Signature of Applicant		Date

26. Curriculum Vitae

29. TITLE PAGE

Typed Essay May Not Exceed Ten Double-Spaced Pages of Size 12 Font With One Inch Margins

Title:

FULBRIGHT-HAYS FOREIGN LANGUAGE REFERENCE FORM

U.S. DEPARTMENT OF EDUCATION
WASHINGTON, D.C. 20006-8521

Name of Individual Applicant	Name of Institution
Countries of Research	Language
Proposed Project or Dissertation Title	

To be completed by a college/university language teacher and sent to the contact person at the applicant's college or university. Under Section 552a(d) of the Privacy Act, the content of this form is subject to review by the applicant and others accompanying him or her, upon request.

Speaking and Listening (check one)

- ☐ Unable to function in the spoken language
- ☐ Able to satisfy basic survival needs and maintain very simple conversation on familiar topics
- ☐ Able to satisfy routine social demands and limited work requirements
- ☐ Able to participate effectively in most formal and informal conversations on practical and social topics and on professional topics in restricted contexts
- ☐ Able to use the language fluently and accurately on all levels pertinent to professional needs
- ☐ Use of the language is functionally equivalent to a well-educated native speaker

Reading (check one)

- ☐ No practical ability to read the language
- ☐ Sufficient comprehension to read very simple connected written material in a form equivalent to usual printing or typescript
- ☐ Sufficient comprehension to read simple, authentic texts on subjects within a familiar context
- ☐ Able to read within a normal range of speed and with almost complete comprehension a variety of authentic prose material on unfamiliar subjects, as well as technical material
- ☐ Able to read fluently and accurately all styles and forms of the language pertinent to professional needs, including all materials in one's special field
- ☐ Reading proficiency is functionally equivalent to a well-educated native speaker

Writing (check one)

- ☐ No functional ability in writing
- ☐ Sufficient control of the writing system to meet limited demands
- ☐ Sufficient control of the writing system to meet most survival needs and limited social demands
- ☐ Ability to write with some precision and in some detail about most common topics
- ☐ Able to use the language effectively in most formal and informal written exchanges on practical, social, and professional topics
- ☐ Writing proficiency is equal to that of a well-educated native speaker

Please indicate briefly how your evaluation was determined (e.g. two years of coursework, a test, etc.).

Name	Position or Title	University
Signature		Date

**FULBRIGHT-HAYS FACULTY INSTITUTIONAL SUPPORT
STATEMENT**

TECHNICAL REVIEW - FACULTY RESEARCH ABROAD

International Education and Graduate Programs Service • US Department of Education

I. NAME OF INDIVIDUAL APPLICANT

NAME OF APPLICANT INSTITUTION

WORLD AREA

II. CUMULATIVE SCORE OF THE TWO CATEGORIES OF CRITERIA

READER
TOTAL

QUALITY OF PROPOSED PROJECT (Maximum of 60 points)

QUALIFICATIONS OF APPLICANT (Maximum of 40 points)

Indicate above the cumulative scores for the two categories found on the following pages. Add the scores from the two boxes on the left and place the total in the large box to the right. The sum of the Reader Totals will constitute the Panel's final judgment.

DO NOT USE DECIMAL POINTS

III. OVERALL COMMENTS

Sample

IV. SIGNATURE OF REVIEWER

DATE

TECHNICAL REVIEW - FACULTY RESEARCH ABROAD

Score this application in terms of the Rating Scale. Indicate your score for each criterion in the box to the right. **Do not use decimal points.** Add the scores of the criteria and enter the sum in the box marked Total Points. Transfer the Total Points to the appropriate block in Section II on page one.

RATING SCALE			
If total points are:	5	10	15
Outstanding	5	10	15
Very Good	4	8	12
Good	3	6	9
Average	2	4	6
Poor	1	2	3
Unacceptable or not described	0	0	0

V. QUALITY OF PROPOSED PROJECT (Maximum of 60 points)

1. The statement of the major hypotheses to be tested or questions to be examined and the description and justification of the research methods to be used.

YOUR COMMENT:

(10)

2. The relationship of the research to the literature on the topic and to major theoretical issues in the field, and the project's originality and importance in terms of the concerns of the discipline.

YOUR COMMENT:

(10)

3. The preliminary research already completed in the US and overseas or plans for such research prior to going overseas, and the kinds, quality and availability of data for the research in the host country or countries.

YOUR COMMENT:

(10)

TECHNICAL REVIEW - FACULTY RESEARCH ABROAD

Score this application in terms of the Rating Scale. Indicate your score for each criterion in the box to the right. Do not use decimal points. Add the scores of the criteria and enter the sum in the box marked Total Points. Transfer the Total Points to the appropriate block in Section II on page one.

RATING SCALE			
If total points are:	5	10	15
Outstanding	5	10	15
Very Good	4	8	12
Good	3	6	9
Average	2	4	6
Poor	1	2	3
Unacceptable or not described	0	0	0

4. The justification for overseas field research, and preparations to establish appropriate and sufficient research contacts and affiliations abroad.

YOUR COMMENT:

(10)

5. The applicant's plans to share the results of the research in progress and a copy of the dissertation with scholars and the American scholarly community.

YOUR COMMENT:

(10)

6. The objectives of the project regarding the sponsoring institution's plans for developing or strengthening or both curricula in modern foreign languages and area studies

YOUR COMMENT:

(10)

QUALITY OF PROPOSED PROJECT
(Please record this total in Section II on page one)

**TOTAL
POINTS:**
(0-60)

TECHNICAL REVIEW - FACULTY RESEARCH ABROAD

Score this application in terms of the Rating Scale. Indicate your score for each criterion in the box to the right. Do not use decimal points. Add the scores of the criteria and enter the sum in the box marked Total Points. Transfer the Total Points to the appropriate block in Section II on page one.

RATING SCALE

If total points are:	5	10	15
Outstanding	5	10	15
Very Good	4	8	12
Good	3	6	9
Average	2	4	6
Poor	1	2	3
Unacceptable or not described	0	0	0

VI. QUALIFICATIONS OF THE APPLICANT (Maximum of 40 points)

1. The overall strength of the applicant's academic record (teaching, research, contributions, professional association activities).

YOUR COMMENT:

(10)

2. The extent to which the applicant's works as a teacher or researcher or both in his or her area or areas of specialization is excellent.

YOUR COMMENT:

(10)

3. The applicant's proficiency in one or more of the languages (other than English and the applicant's native language) of the country or countries of research, and the specific measures to be taken to overcome any anticipated language barriers.

YOUR COMMENT:

(15)

4. The applicant's ability to conduct research in a foreign cultural context, as evidenced by the applicant's references or previous overseas experiences, or both.

YOUR COMMENT:

(5)

QUALIFICATIONS OF THE APPLICANT
(Please record this total in Section II on page one)

**TOTAL
POINTS:**
(0-40)

IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS IN U.S. DEPARTMENT OF EDUCATION CONTRACT AND GRANT PROGRAMS

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds.

Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste.

For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that

**Failure to meet a deadline will mean that an applicant will be rejected
without any consideration whatever.**

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.)

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Procurement Regulations and implementing ED Procurement Regulations.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracting Specialist identified on the face page of the RFP.

Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulations is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.